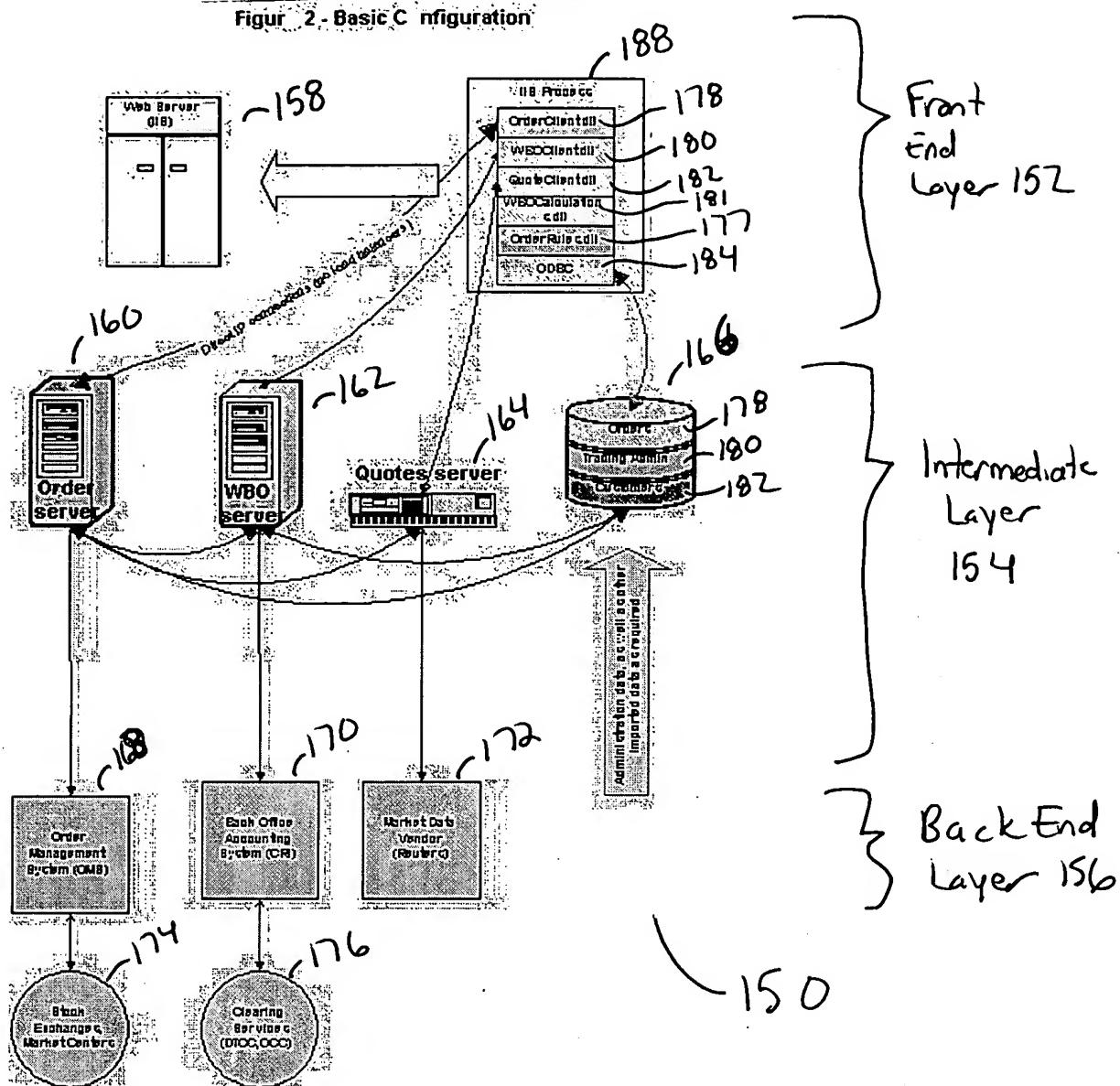
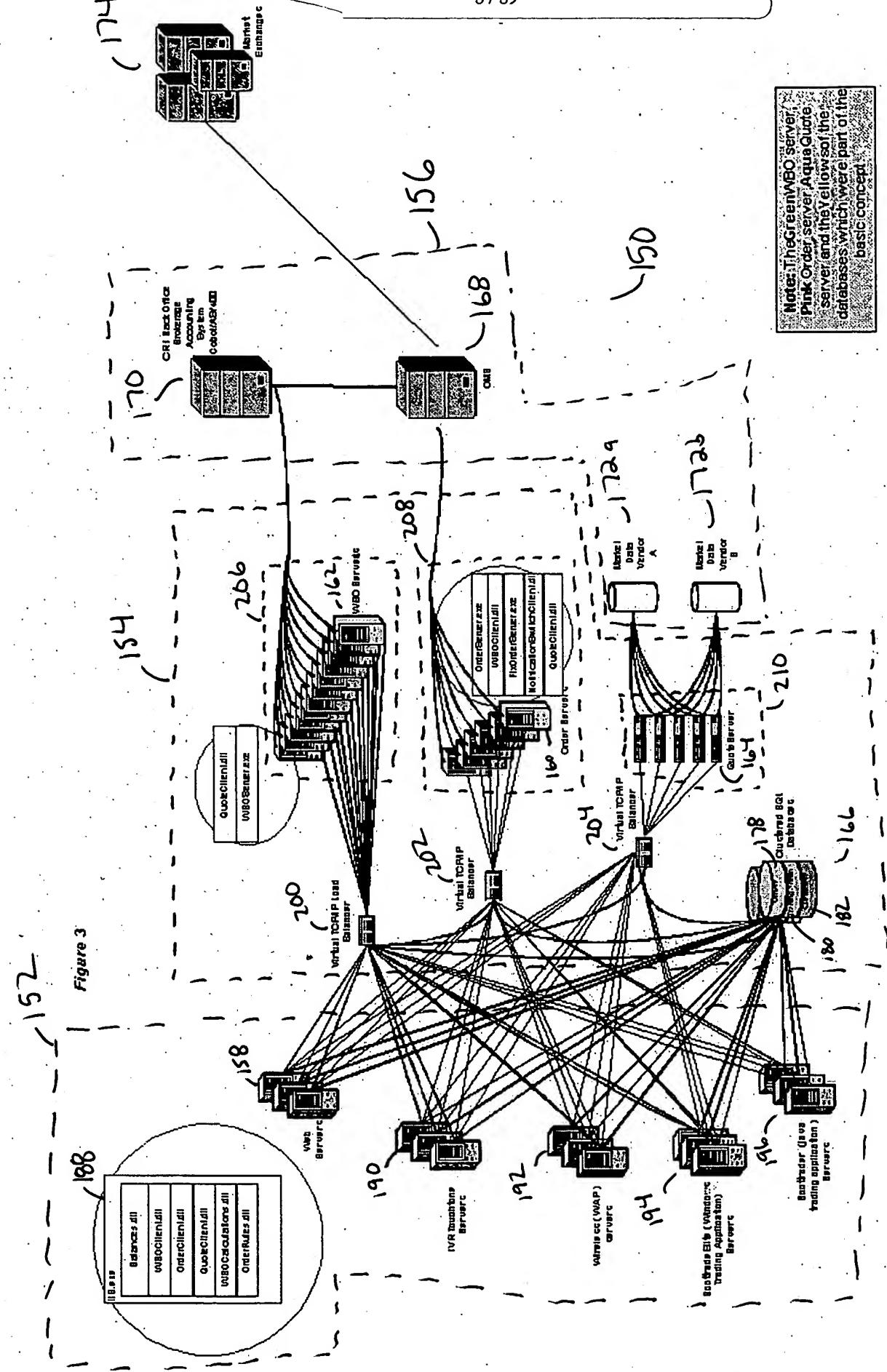


Figure 1
PRIOR ART

Figure 2 - Basic Configuration



3 / 39



Title: System And Method For The Automated
Brokerage Of Financial Instruments
Inventor(s): Tully et al.
Express Mail No. EV328618216US
Docket #: 36194/42366
4 / 39

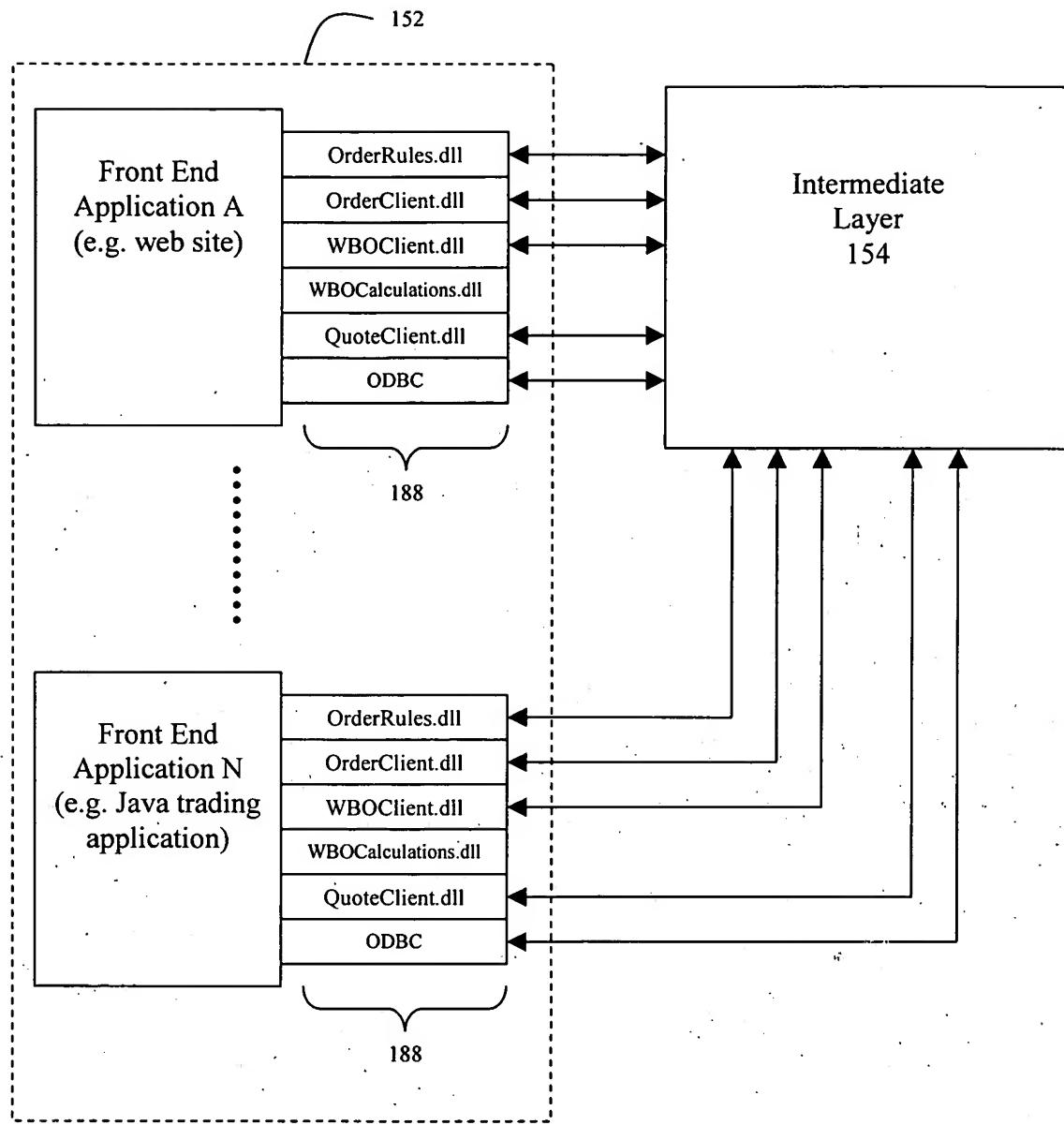


Figure 4

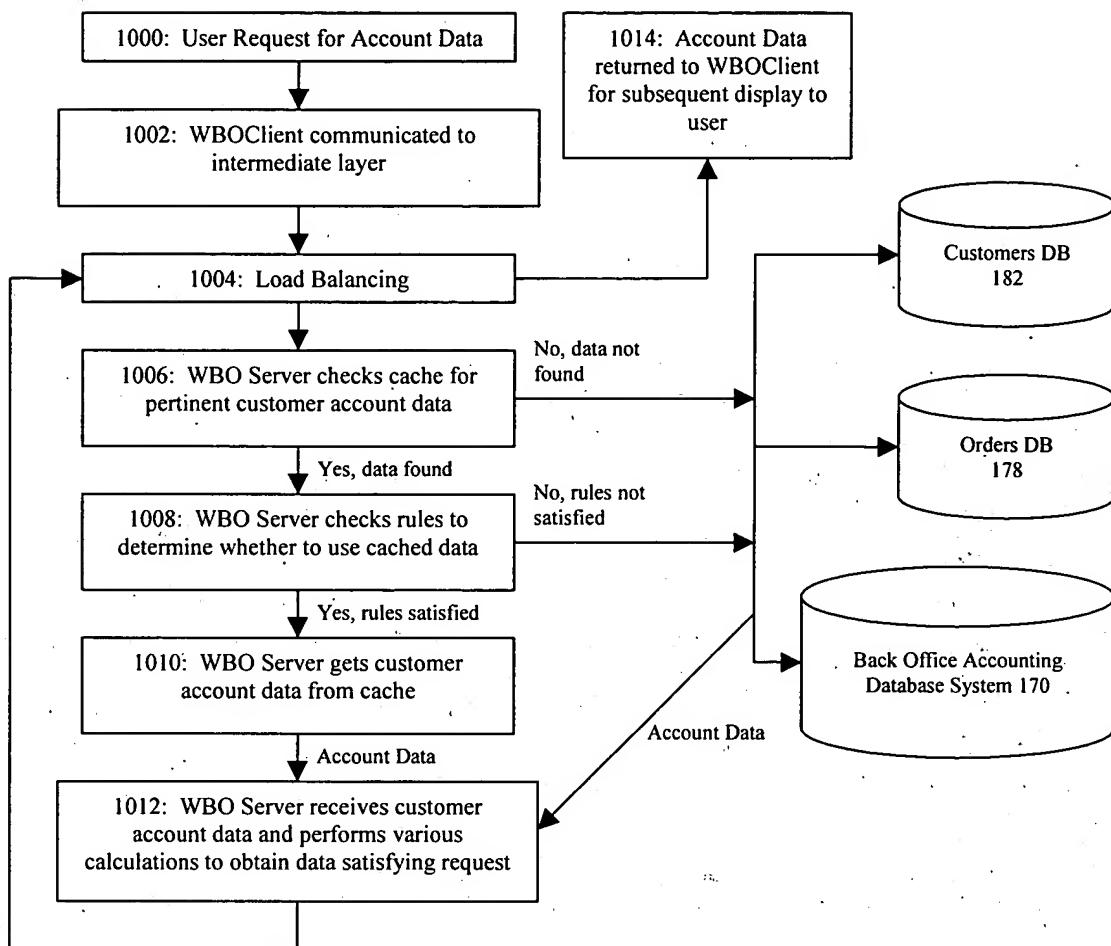


Figure 5

Title: System And Method For The Automated
 Brokerage Of Financial Instruments
 Inventor(s): Tully et al.
 Express Mail No. EV328618216US
 Docket # 36194/42366
 6 / 39

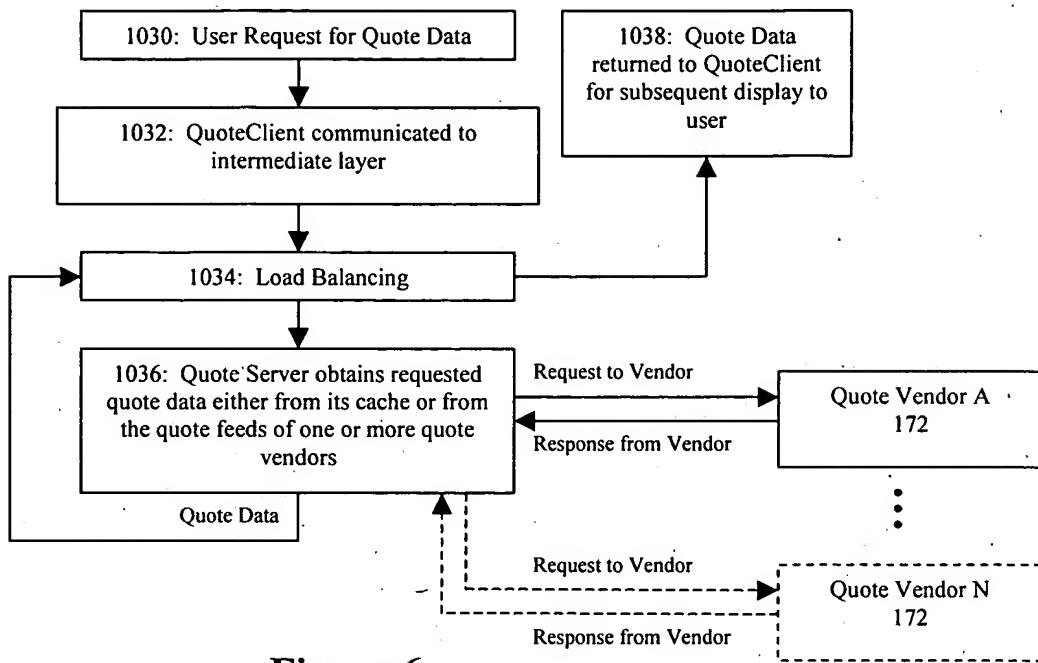


Figure 6

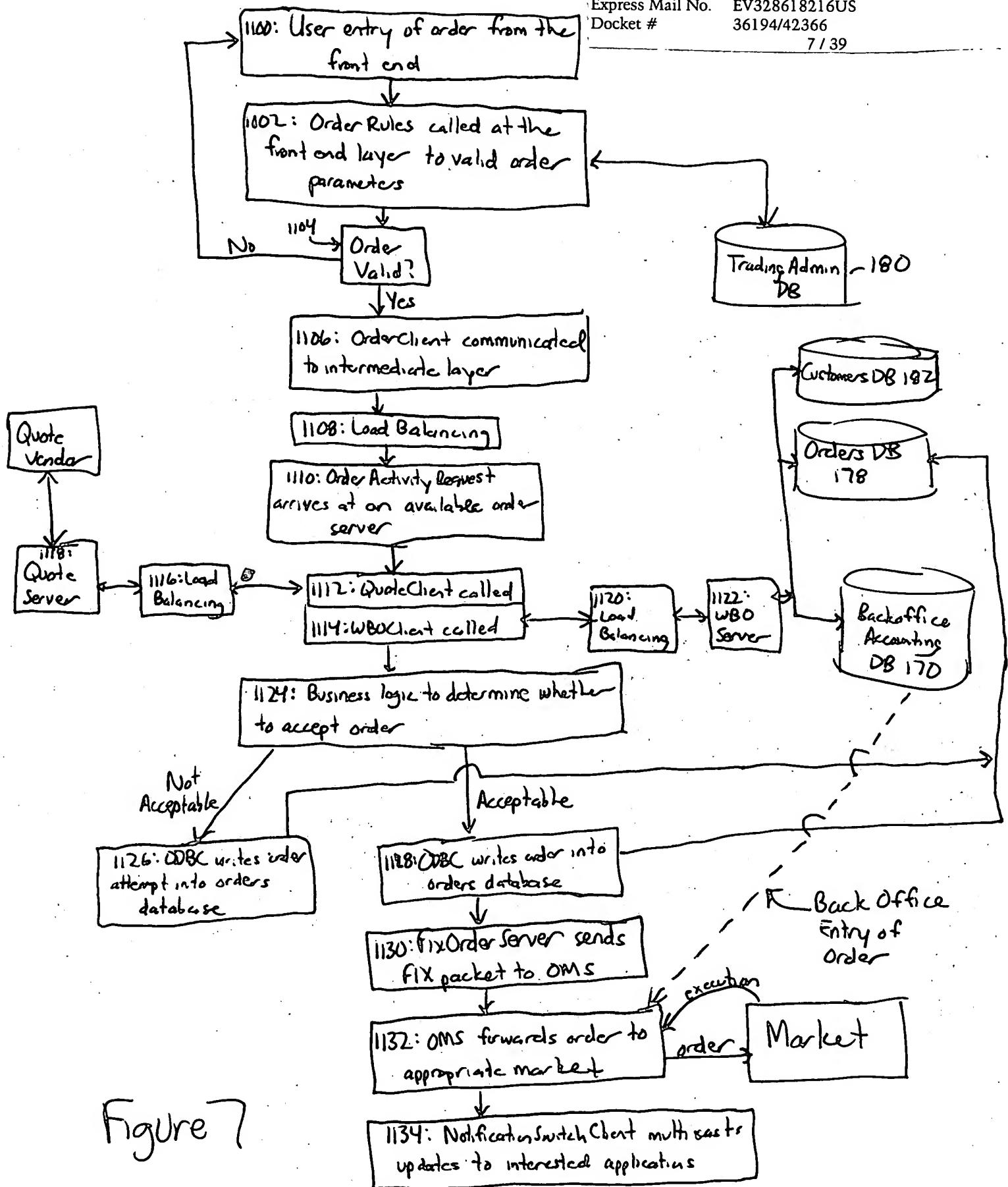


Figure 7

Title:

System And Method For The Automated
Brokerage Of Financial Instruments

Inventor(s):

Tully et al.

Express Mail No.

EV328618216US

Docket #

36194/42366

8 / 39

Scottrade

Welcome to Scottrade Financial Services

New Messages Today.

Real-Time Market Indices - October 13, 2003 4:17 PM EST

U.S. Markets Closed	
S&P 500	1045.35 -7.29
DJIA	9764.38 -69.70
NASDAQ	1933.50 +18.20

Real-Time Account Information

Portfolio Value as of Previous Close	
Portfolio	\$ 163.08
Current Net Balance (Cash + Unsatisfied Funds)	
Current Net Balance	\$ 304.82
Total Account Value	
Total Account Value	\$ 467.90

Trading Cash

Cash / Unsatisfied Funds	
Unsatisfied Funds	\$ 0.00
Current Net Balance	\$ 304.82
Trading Cash	\$ 304.82

This account is not Restricted

Real-Time Positions

Symbol	Qty	Acct Type	Quote	Value
CSCO	2	CASH	21.00	106.00
MSFT	2	CASH	28.78	57.56
SVS	1	CASH	1.27	1.27
Total Market Value				\$ 163.83

Symbol: Detailed Quote

Internet

Figure 8(a)

Title:

System And Method For The Automated Brokerage Of Financial Instruments

Inventor(s): Tully et al.
Express Mail No. EV328618216US
Docket # 36194/42366

9 / 39

Web Custer Interface

Figure 8(b)

Welcome to Scottrade - Online Trading With A Personal Touch [TM] - Microsoft Internet Explorer

Address: <https://www.scottrade.com/cgwvwroot/Scottrade.asp>

Home Trading Account Information Quotes Dow Jones News Research Customer Service Help Log Out

Current Trade Balances

October 13, 2003

Description	Value	Help
Portfolio Value as of Previous Close	\$ 163.08	Help
Current Net Balance	\$ 304.82	Help
Total Account Value	\$ 467.90	Help

Cash / Settled Funds: \$ 304.82 [Help]

Today's Settled Funds	\$ 304.82	Help
Unsettled Stock Sales	\$ 0.00	Help
Unsettled Option Sales	\$ 0.00	Help
Unsettled Other Sales	\$ 0.00	Help
Unsettled Total Sales	\$ 0.00	Help
Unsettled Total Buys	\$ 0.00	Help
Current Net Balance	\$ 304.82	Help

Trading Cash

Open Buy Orders	\$ 15.00	Help
Trading Cash	\$ 289.82	Help
(Trading Cash for Fixed Income) / Mutual Funds Purchases	\$ 289.82	Help

Click the Helps for information on how you are able to use these funds for Buys.

Today's Trades - You can see settlement dates for your trades today by clicking on Today's Real-Time Executions found on your Home page.

Previous Trades - You can see settlement dates for past trades by going to Account Information and then to your Trade History.

Symbol: Detailed Quote: Quick Links:

Title: System And Method For The Automated Brokerage Of Financial Instruments
 Inventor(s): Tully et al.
 Express Mail No. EV328618216US
 Docket #: 36194/42366
 10 / 39

Web
Customer
Interface

figure 8(c)

Current Open Orders & Real-Time Executions

Account # 78-351712

First Steps
 • Deposit Funds
 • eCheck
 • Wireless
 NEW! FEATURES
 • New Corporate
 • Offerings
 • Trade Features of
 Scottrade
 • Introducing Scottrade Elite
 NEW! Scottrade Elite

CURRENT MARKETS

• Scottrade
 • Streaming Quotes
 • Market Indices
 • Top 100
 • Boring.com
 • Change Accounts
 • Logout of Trading
 • Site Map

Current Open Orders

MOD	CX	Action	Qty	Symbol	Price	Qualifiers	Act. Type	Order#	Status	Session		
MOD	CX1	SELL	2	MSFT	Limit 20.00		CASH	DAY	None	XU242520031013	QUEUED	Regular
MOD	CX2	BUY	1	IRTSY	Limit 15.00		CASH	DAY	None	XABT3620031013	QUEUED	Regular

Today's Real-Time Executions

None

Help **Help**

© Copyright 2000 Scottrade. All Rights Reserved.

Symbol: Detailed Quote

Quick Links

Title: System And Method For The Automated Brokerage Of Financial Instruments
 Inventor(s): Tully et al.
 Express Mail No. EV328618216US
 Docket # 36194/42366

11 / 39

Lab
Customer Interface

figure 8(d)

Scottrade

Welcome to Scottrade - Online Trading With A Personal Touch (TM) - Microsoft Internet Explorer

Address: <https://www1.scottrade.com/GV/wwwRootS/collstave.asp>

October 13, 2003

Real-Time Positions

Symbol	Name	Qty	Acct Type	Quote	Value	Today's Change In Value
CSCO	CISCO SYSTEMS	5	CASH	2100	\$105.00	-\$1.00
MSFT	MICROSOFT CORP	2	CASH	28.78	\$7.56	-.00
SVS	SAVVIS COMMUNICATIONS CORP	1	CASH	1.27	1.27	-.00
	Total Market Value:			\$163.83	\$0.75	

Copyright 2000 Scottrade. All Rights Reserved.

Account # 78-351712

First Steps
 • Deposit Funds
 • eCheck
 • Wireless

NEW FEATURES

• New Corporate Offerings
 • Trading Features of Scottrade
 • Introducing Scottrade Elite

NEW! Scottrade Elite

CURRENT MARKETS

- Scottrade
- Streaming Quotes
- Market Indices
- Top Ten
- Briefing.com
- Change Accounts
- Logout of Trading
- Site Map

Symbol: Detailed Quote

Quick Links

File:///C:/Documents%20and%20Settingsmillerk/Local%20SettingsTemporary%20Internet%20Files(OLK6)WebSitePositions.jpg

10/14/2003

Title: System And Method For The Automated Brokerage Of Financial Instruments
 Inventor(s): Tully et al.
 Express Mail No. EV328618216US
 Docket # 36194/42366
 12 / 39

Scottrade

Welcome to Scottrade - Online Trading with A Personal Touch (TM) - Microsoft Internet Explorer

Address: https://www1.scottrade.com/GWwww/Tool/Scottrade.asp

Home Trading Account Information Quotes Dow Jones News Research Customer Service Help Log Out

Equity Order Entry

Market Side: Buy Help

Quantity: 1 Help

Symbol: GE Help

Order Type: Market Help

Limit Price: Help

Stop Price: Help

Time in Force: Day Order Help

Qualifiers: All or None Help

Trading Period: Regular Hours Help

Get Quote Confirm Abandon

Copyright 2000 Scottrade. All Rights Reserved.

Symbol: Detailed Quote Help

Quick Links Help

Figure 8(e)

Title: System And Method For The Automated Brokerage Of Financial Instruments
 Inventor(s): Tully et al.
 Express Mail No. EV328618216US
 Docket # 36194/42366
 13 / 39

W
Custom Int'l Co

Figure 8(f)

Scottrade

Welcome to Scottrade - Online Trading With A Personal Touch™ - Microsoft Internet Explorer

Address: https://www1.scottrade.com/5WwwwRoot/Scottrade.asp

File Edit View Favorites Tools Help

Home Trading Account Information Quotes Dow Jones News Research Customer Service Help Log Out

Equity Order Entry

Are you sure you want to submit this order?

Symbol	Last	Change	Bid	Ask	Size	High	Low	Volume	Market
GE	+28.93	-0.39	28.92	28.94	347	34.12	29.97	28.65	29,536,300 NYSE

Market Side: Buy
 Quantity: 1
 Symbol: GE
 Price: At the Market
 Time in Force: Day Order
 Estimated Commission: \$7.00
 Trading Period: Regular Hours
 Account Number: 78451712

Password:

Submit Edit Abandon Help

© Copyright 2000 Scottrade. All Rights Reserved.

Symbol: Detailed Quote

Title: System And Method For The Automated Brokerage Of Financial Instruments
 Inventor(s): Tully et al.
 Express Mail No. EV328618216US
 Docket # 36194/42366
 14 / 39

Web
Broker
Interface

Figure 8(g)

Scottrade

Welcome to Scottrade - Online Trading With A Personal Touch (TM) - Microsoft Internet Explorer

Address: <https://www1.scottrade.com/GW/wwwTool/ScotSave.asp>

Home Trading Account Information Quotes Research Dow Jones News Customer Service Help Log Out

Your order has been entered, subject to broker approval.

Market Side: Buy
 Quantity: 1
 Symbol: GE
 Price: At the Market
 Time in Force: Day Order
 Estimated Commission: \$7.00
 Account Number: 78451712
 Account Type: CASH

Your reference number is: XXB328920031013

Any order entered after market close is good for the next business day.

© Copyright 2000 Scottrade. All Rights Reserved.

TRADES

- Equities
- Mutual Funds
- Fixed Income
- Option Orders & Executions

LOOKUP

- Equity
- Option Class
- Option Symbol
- Trading Help
- Touch To Guide
- Site Map

Symbol: Detailed Quote



Figure 9(a)



Figure 9(b)



Figure 9(c)



Figure 9(d)

Title: System And Method For The Automated Brokerage Of Financial Instruments
 Inventor(s): Tully et al.
 Express Mail No. EV328618216US
 Docket # 36194/42366
 16 / 39

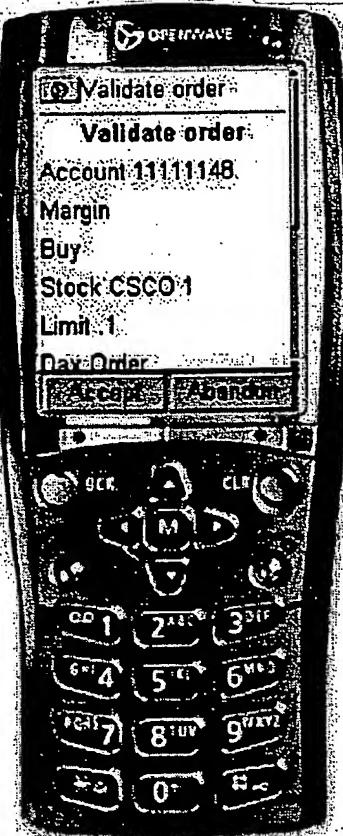


Figure 9 (d)



Figure 9 (f)



Figure 9 (g)

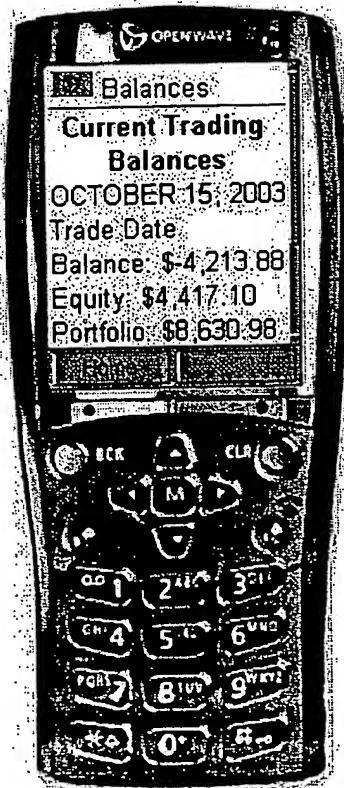


Figure 9 (h)

Title: System And Method For The Automated
Brokerage Of Financial Instruments
Inventor(s): Tully et al.
Express Mail No. EV328618216US
Docket # 36194/42366
17 / 39



Figure 9(i)



Figure 9(j)



Figure 9(k)

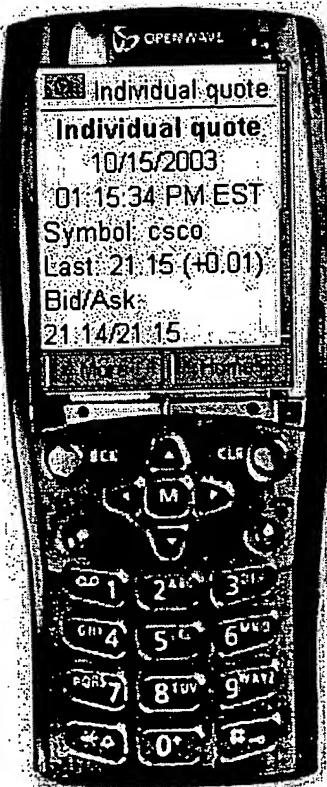


Figure 9(l)



Figure 9(m)



Figure 9(n)

Title: System And Method For The Automated Brokerage Of Financial Instruments
 Inventor(s): Tully et al.
 Express Mail No. EV328618216US
 Docket # 36194/42366
 19 / 39

Windows
Custom
Interface

Figure 10

Order Entry									
Symbol	Buy/Sell	Limit Price	Stop Price	Order Type	Route	Dest ID	Duration	Outliers	Account
RTSY	1	15		Limit	Auto	2	Day		78451712
Order Confirmed (W49736120310101)									
Open Orders for 78451712 [2]									
Symbol	Action	Order	Limit	Stop	Status	RefNumber			
MSFT	Buy	2	40.00	0.00	Day	XIA2425200310			
RTSY	Buy	1	15.00	0.00	Day	XAB7361200301			

FullQuote : INDUSTRY AVERAGE									
Symbol: AVEP									
Settings									
1D.J.B	69.70	n/a							
Bid	Ask	Last	High	Low	Volume				
0.00	0.00	9764.3	9783.4	9675.5	1682233				

FullQuote : SCDMPQ : NASDAQ.COM/MPJ/ST									
Symbol: SCDMPQ									
Settings									
1COMPO	18.20	n/a							
Bid	Ask	Last	High	Low	Volume				
0.00	0.00	1933.5	1941.0	1922.0	0				

FullQuote : SPX.C : S&P 500 INDEX									
Symbol: SPX.C									
Settings									
1SPXC	7.29	n/a							
Bid	Ask	Last	High	Low	Volume				
104.90	1045.52	1045.3	1048.9	1038.0	0				

Java
Custom
Interface

Figure

Title: System And Method For The Automated Brokerage Of Financial Instruments
Inventor(s): Tully et al.
Express Mail No. EV328618216US
Docket # 36194/42366
21 / 39

Figure 1.2 (a)

Title: System And Method For The Automated Brokerage Of Financial Instruments
 Inventor(s): Tully et al.
 Express Mail No. EV328618216US
 Docket # 36194/42366
 22 / 39

Scottrade - Trading Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Favorites Search

Address: <http://10.0.0.103/admin/TradingAdminFrame.asp>

Trading (mttully) Admin

Indiv Group Approval Queue Symbol Admin Option Admin Trading Control History

Search: A B C D E F G H I J K L M N O P Q R S T U V W X Y Z

Disallowed Options

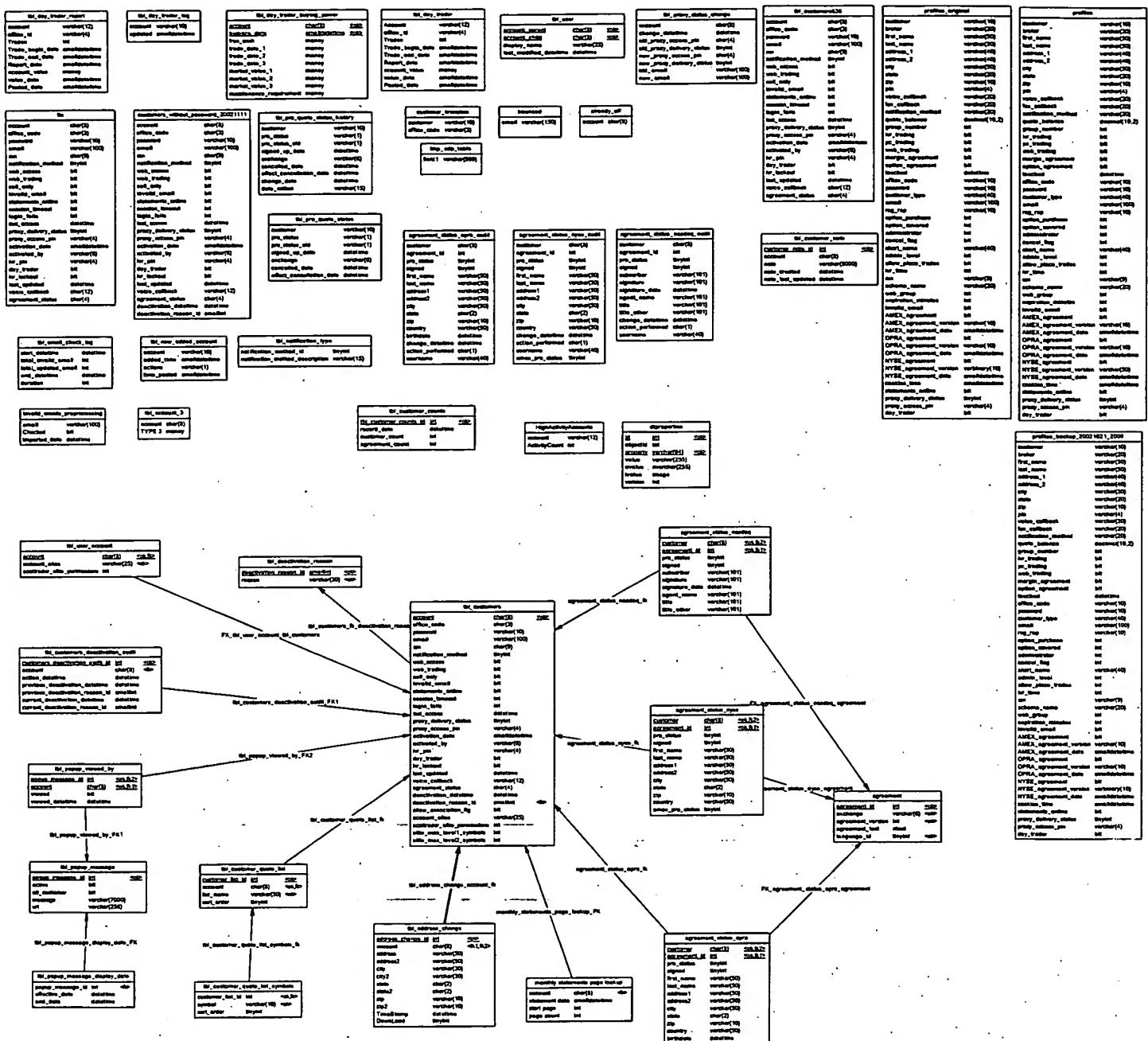
#	Option Symbol	Option Symbol Type	Underlying Security	Delete
1	AAM	Root		Delete
2	AAV	Root		Delete
3	AFU	Root		Delete
4	AGK	Root		Delete
5	AHY	Root		Delete
6	AIE	Root		Delete
7	ADX	Root		Delete
8	AKA	Root		Delete
9	ANO	Root		Delete
10	AOP	Root		Delete
11	AOV	Root		Delete
12	AUB	Root		Delete
13	AUE	Root		Delete
14	AYP	Root		Delete

Figure 12(b)

Scottrade - Trading Admin - Microsoft Internet Explorer																																																									
File Edit View Favorites Tools Help																																																									
Back Forward Stop Home Favorites																																																									
Address http://hradmin.scottrade.com/tradingadmin/tradingadmin.htm?dms.asp																																																									
<h2>Trading (mttly) Admin</h2>																																																									
<input type="radio"/> Indiv <input checked="" type="radio"/> Group Approval Queue																																																									
<input type="radio"/> Symbol Admin <input checked="" type="radio"/> Option Admin <input type="radio"/> Trading Control																																																									
<table border="1"><tr><td>Trading Type</td><td>Entry</td><td>Modify</td><td>Cancel</td><td>NYSE</td><td>Nasdaq</td><td>Amex</td></tr><tr><td>Master</td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td></tr><tr><td>Equity</td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td></tr><tr><td>Option</td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td></tr><tr><td>Bulletin Board</td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td></tr><tr><td>Extended Hours</td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td></tr><tr><td>Scottrader</td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input checked="" type="checkbox"/></td></tr><tr><td colspan="7"><input type="button" value="Submit"/></td></tr></table>		Trading Type	Entry	Modify	Cancel	NYSE	Nasdaq	Amex	Master	<input checked="" type="checkbox"/>	Equity	<input checked="" type="checkbox"/>	Option	<input checked="" type="checkbox"/>	Bulletin Board	<input checked="" type="checkbox"/>	Extended Hours	<input checked="" type="checkbox"/>	Scottrader	<input checked="" type="checkbox"/>	<input type="button" value="Submit"/>																																				
Trading Type	Entry	Modify	Cancel	NYSE	Nasdaq	Amex																																																			
Master	<input checked="" type="checkbox"/>																																																								
Equity	<input checked="" type="checkbox"/>																																																								
Option	<input checked="" type="checkbox"/>																																																								
Bulletin Board	<input checked="" type="checkbox"/>																																																								
Extended Hours	<input checked="" type="checkbox"/>																																																								
Scottrader	<input checked="" type="checkbox"/>																																																								
<input type="button" value="Submit"/>																																																									

Turning off Master will turn off all underlying trading entry methods even if checked.

Figure 12(c)



Customers DB

Figure 13

Title: System And Method For The Automated Brokerage Of Financial Instruments
Inventor(s): Tully et al.
Express Mail No. EV328618216US
Docket # 36194/42366
25 / 39

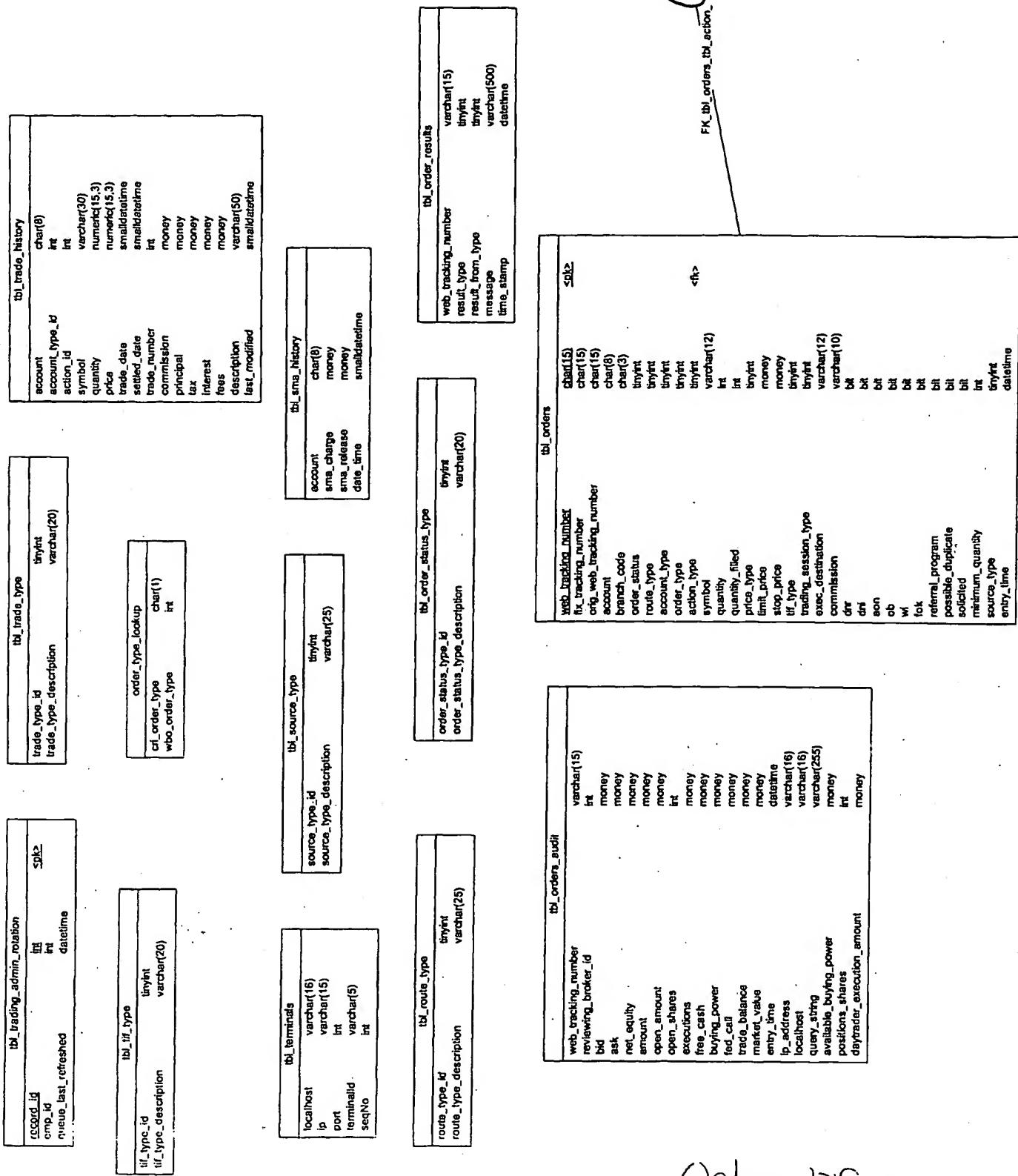


figure 14(a)

Orders DB 1

Title: System And Method For The Automated
 Brokerage Of Financial Instruments
 Inventor(s): Tully et al.
 Express Mail No. EV328618216US
 Docket # 36194/42366
 26 / 39

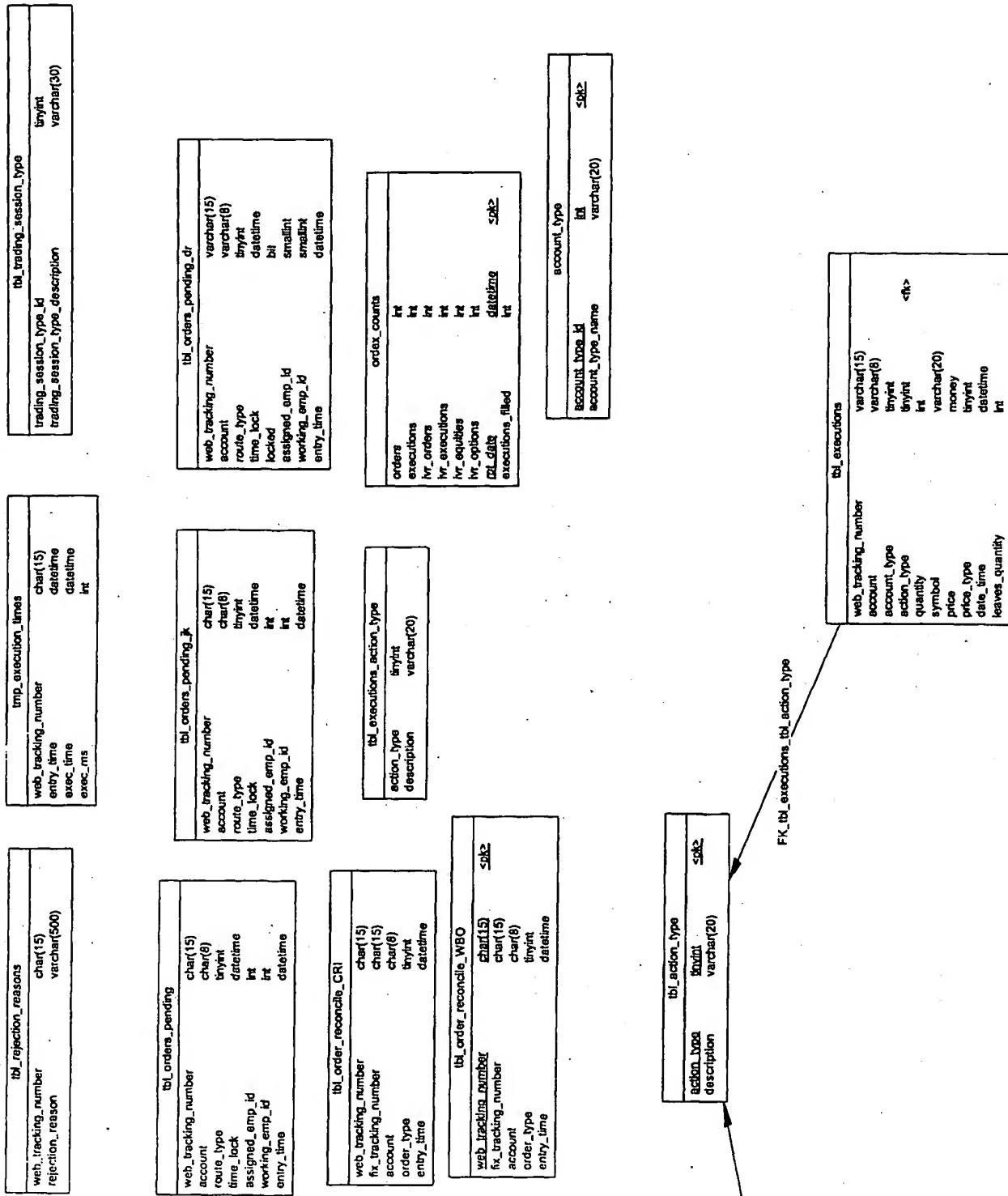


Figure 14(b)

ORDERS DB 2

Title: System And Method For The Automated Brokerage Of Financial Instruments
 Inventor(s): Tully et al.
 Express Mail No. EV328618216US
 Docket # 36194/42366
 27 / 39

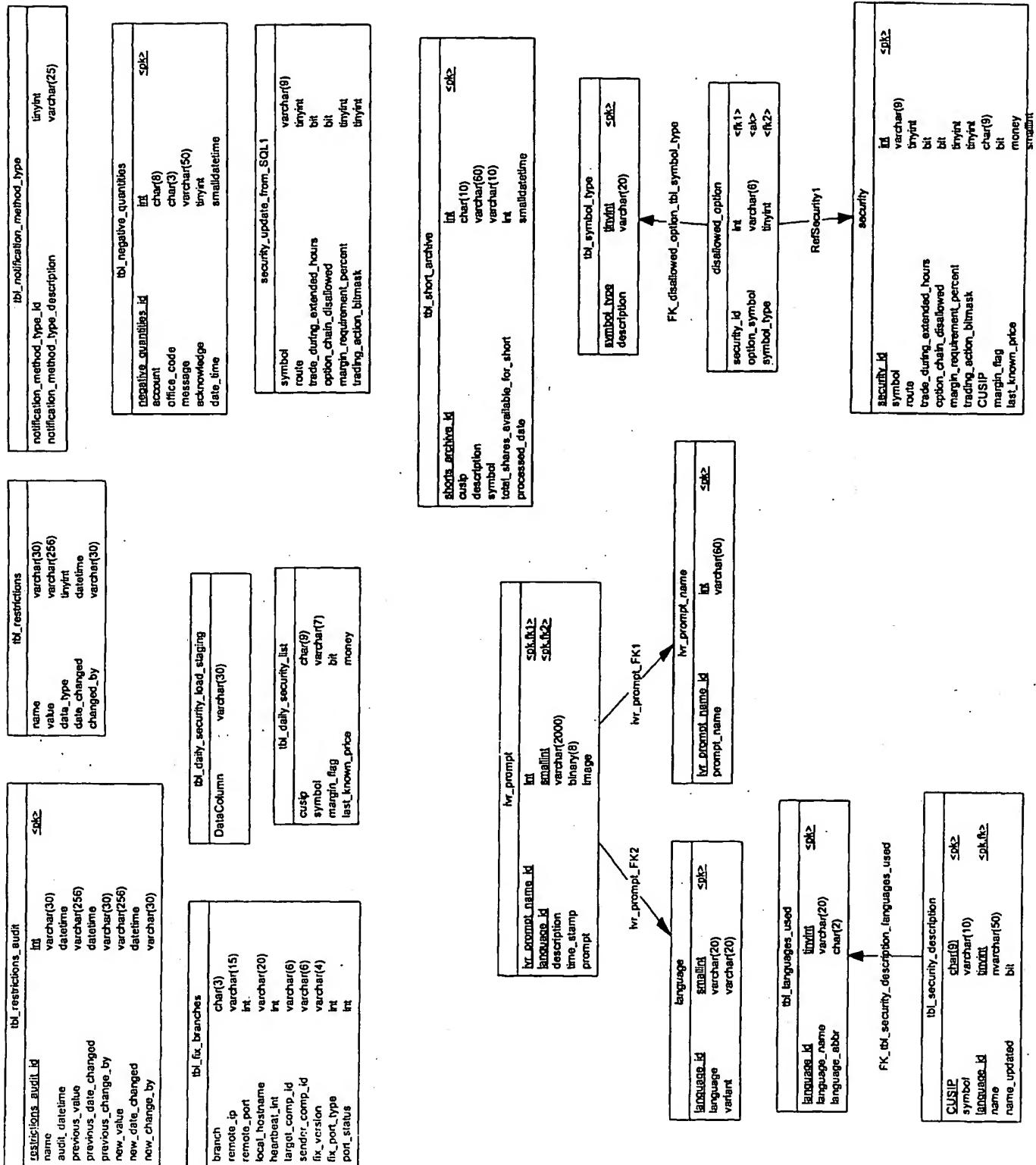


Figure 15(g)

TRADING ADMIN DB 2

Title: System And Method For The Automated Brokerage Of Financial Instruments
Inventor(s): Tully et al.
Express Mail No. EV328618216US
Docket # 36194/42366
28 / 39

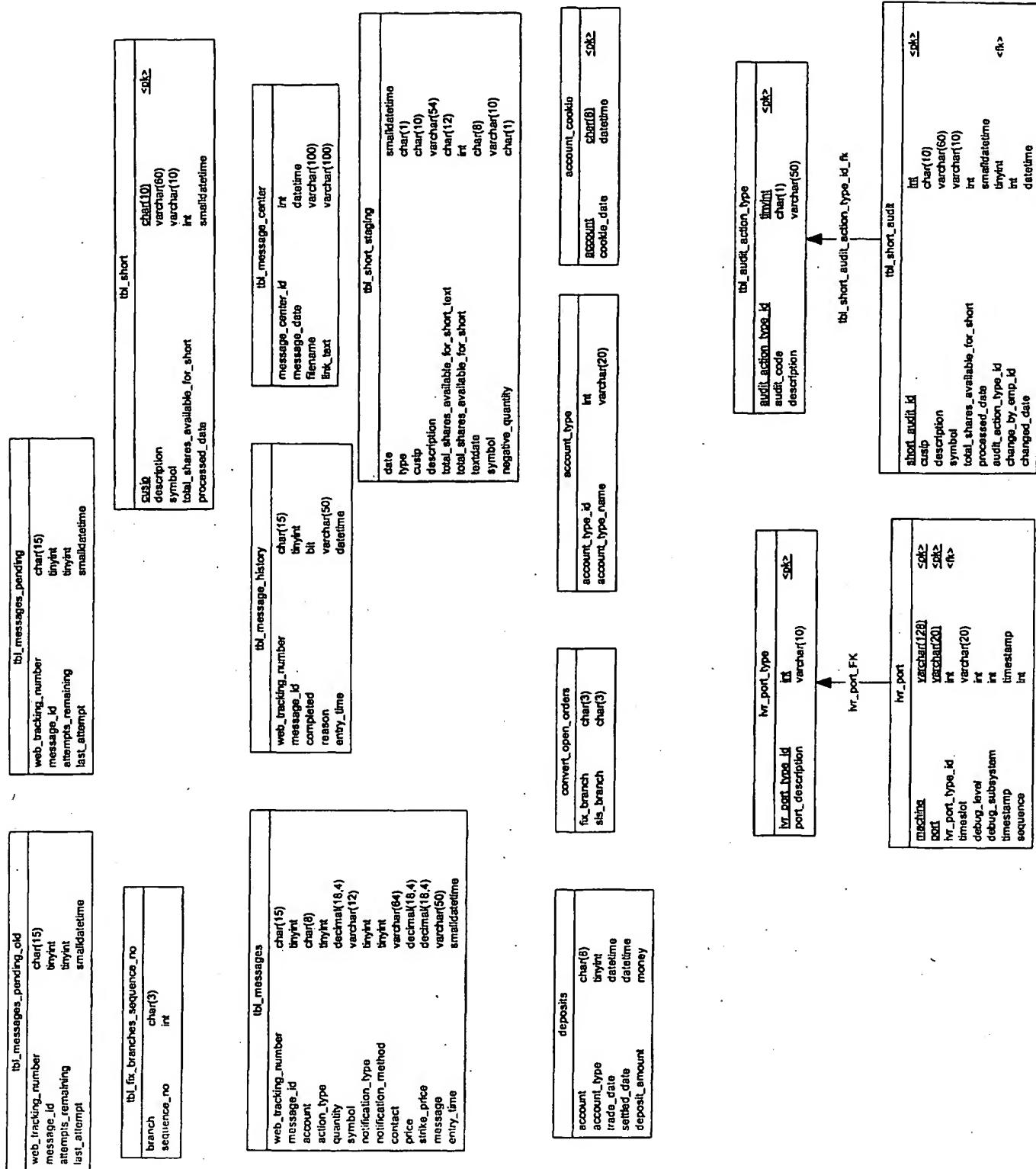


Figure 15(b)

TRADING ADMIN DB 2

Title: System And Method For The Automated Brokerage Of Financial Instruments
 Inventor(s): Tully et al.
 Express Mail No. EV328618216US
 Docket # 36194/42366
 29 / 39

Figure 1 (a)

Scottrade - Trading Admin - Microsoft Internet Explorer

Address: <http://172.16.1.104/admin/TradingAdmin/TradeOrderMain.asp>

Trading (mttly), Admin

Symbol Admin Option Admin Trading Control History

Do Not Use Browser Back / Forward Buttons

Approval Group: [None] Refresh

Disable Auto Refresh (2.2)
 (usable Auto Refresh to enable Flush Queue option)

Emergency Flush Show 15 [x] Orders

Order: N = New Order M = Modify Order X = Cancel Order

10/14/2003 3:36:48 PM

Market	Account	Symbol	Quantity	Side	Price	TIF	Action	As Asigned	Working	Display	Done	Flush
Manual	55822337	AMRBM	100	Buy	10.00	Day	Buy					
	76631739	BRK	100	Buy	10.00	Day	Buy					

Title: System And Method For The Automated
Brokerage Of Financial Instruments
Inventor(s): Tully et al.
Express Mail No. EV328618216US
Docket # 36194/42366
30 / 39

Figure 16(a)

Title: System And Method For The Automated Brokerage Of Financial Instruments
 Inventor(s): Tully et al.
 Express Mail No. EV328618216US
 Docket #: 36194/42366
 31 / 39

figure 1(c)

Scottrade - Trading Admin - Microsoft Internet Explorer

Address: <http://hradmin.scottrade.com/TradeAdmin/TradingAdmin/TradeList.aspx>

Trading (mtully) Admin

Indiv Group Approval Queue Symbol Admin Option Admin Trading Control History

Action	Source/Route	Qty	Symbol	Price	TIF	Account	Date
1. New	Wireless / IIS	Buy	1	EMC	L5	Day	78451712 10/1/2005 3:30:00 PM
2. Cancel	Approved/For Cancell	Buy	1	GE	M	Day	78451712 10/1/2005 8:47:12 AM
3. Cancel	Web/Approved	Buy	1	GE	M	Day	78451712 10/1/2005 8:47:04 AM
4. New	Wireless / IIS	Buy	1	GE	M	Day	78451712 10/1/2005 5:37:38 PM
5. New	Elite / IIS	Buy	1	RBSX	M	Day	78451712 10/1/2005 5:41:16 PM
6. New	Elite / None	Sell	1	RBSX	M	Day	78451712 10/1/2005 5:41:30 PM
7. New	Elite / None	Sell	1	RBSX	M	Day	78451712 10/1/2005 5:41:48 PM
8. New	Wireless / IIS	Sell	1	MSFT	M	Day	78451712 10/1/2005 5:42:38 PM

Source: Web IIS Symbol Admin Option Admin Trading Control Received Owned Message Approval

Destination: IIS Web Symbol Admin Option Admin Trading Control Received Owned Message Approval

Figure 17:

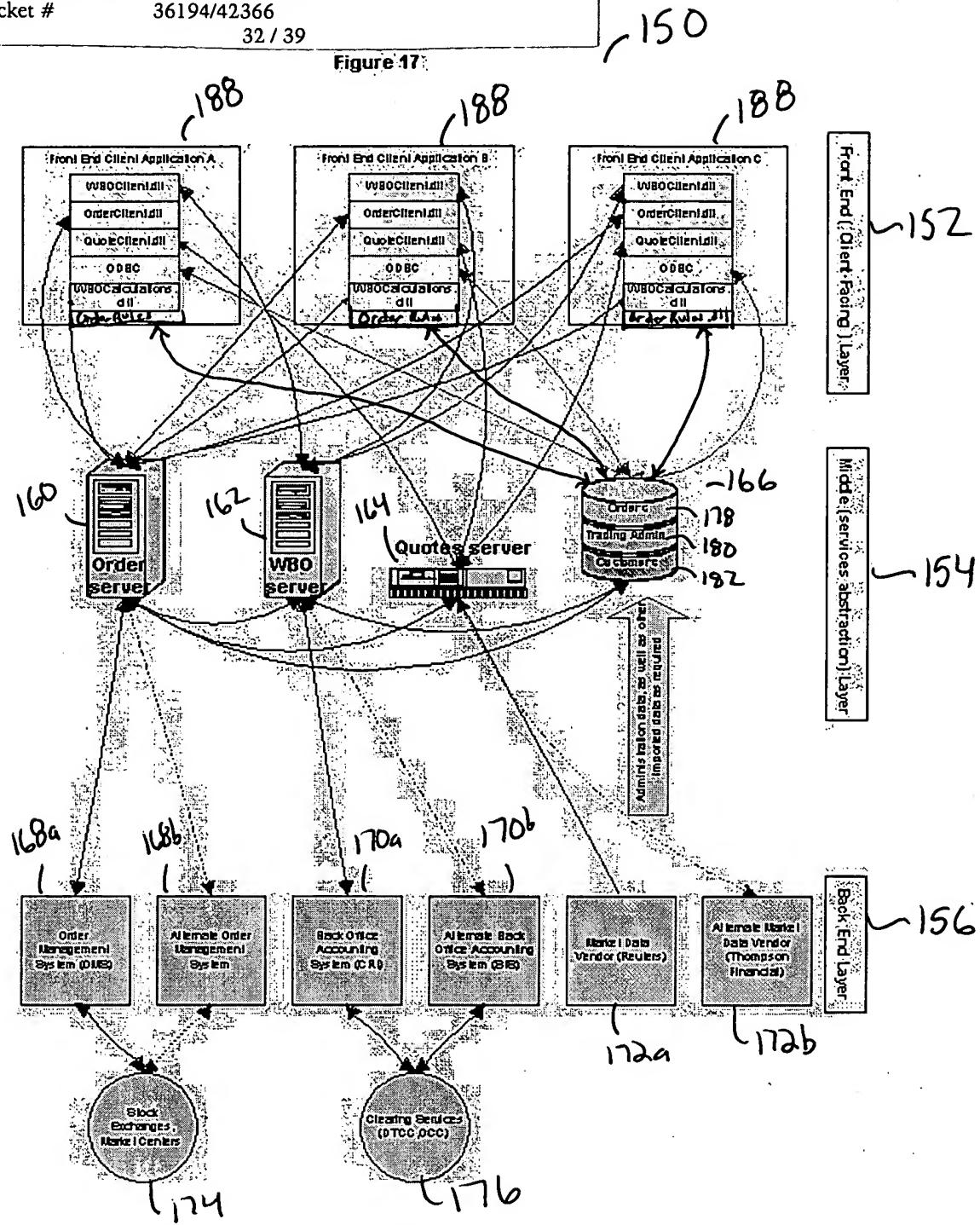
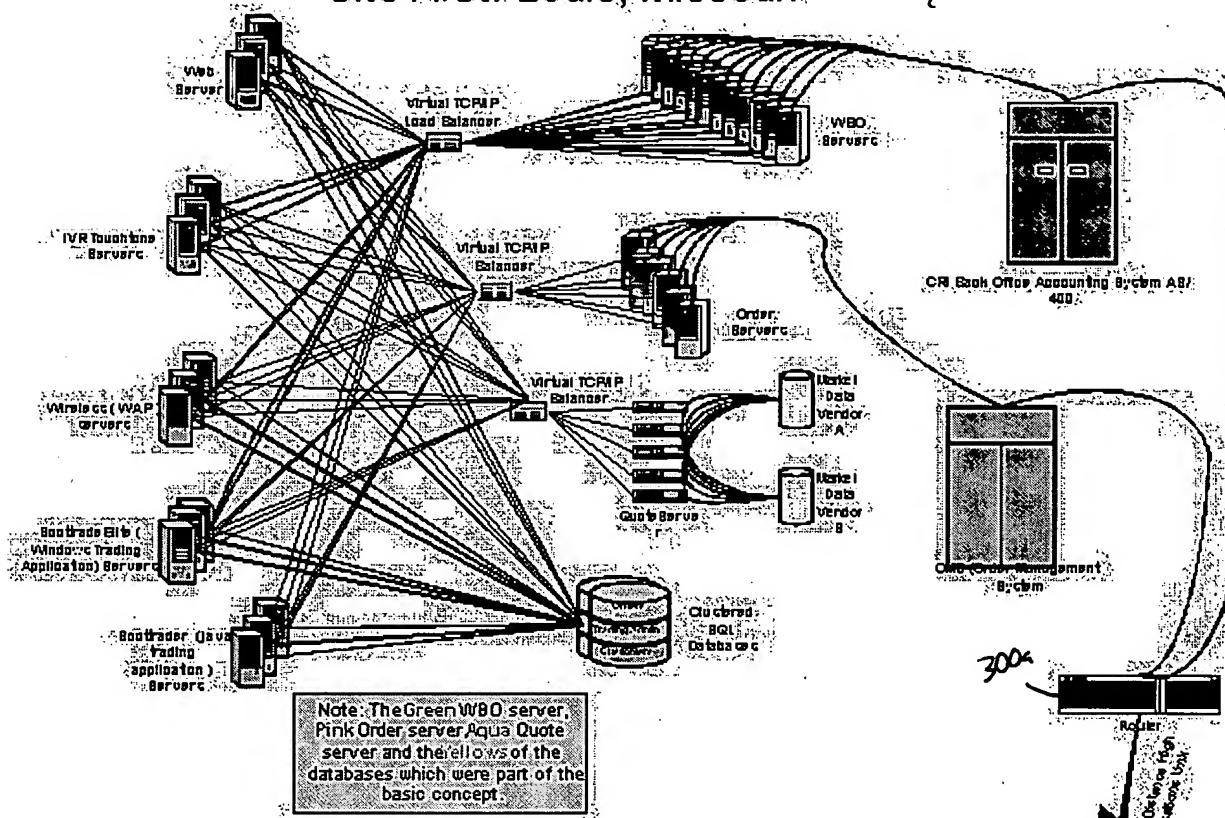
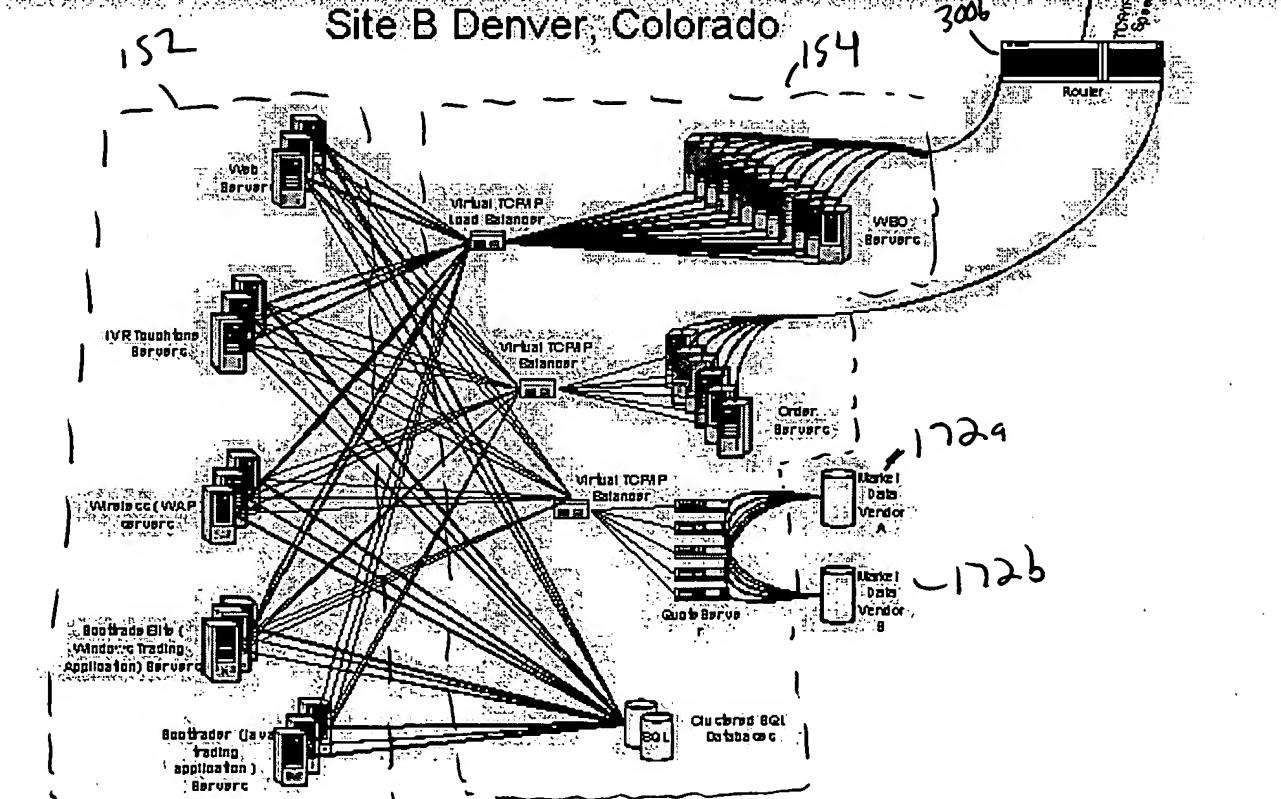


Figure 18: Multi-Site DR

Site A St. Louis, Missouri



Site B Denver, Colorado



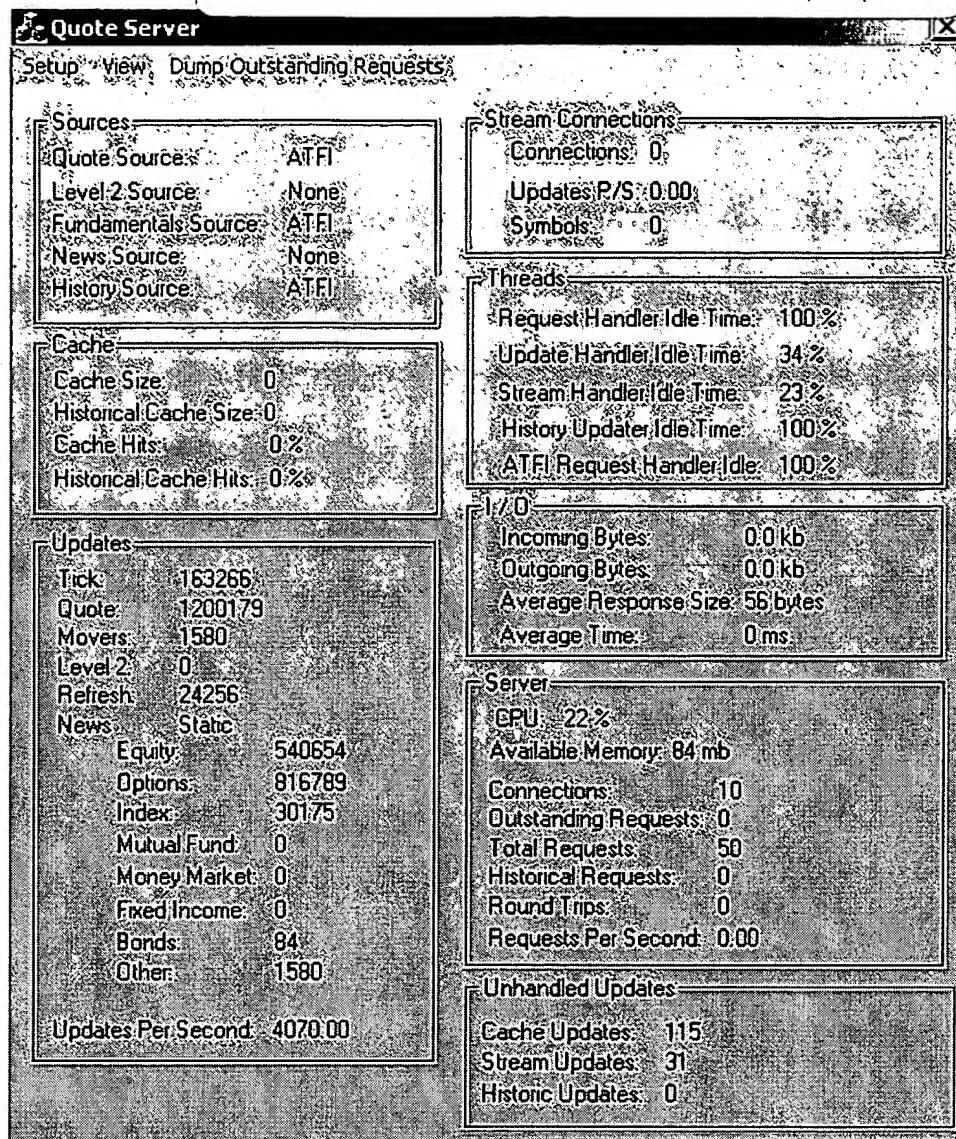


Figure 19(a)

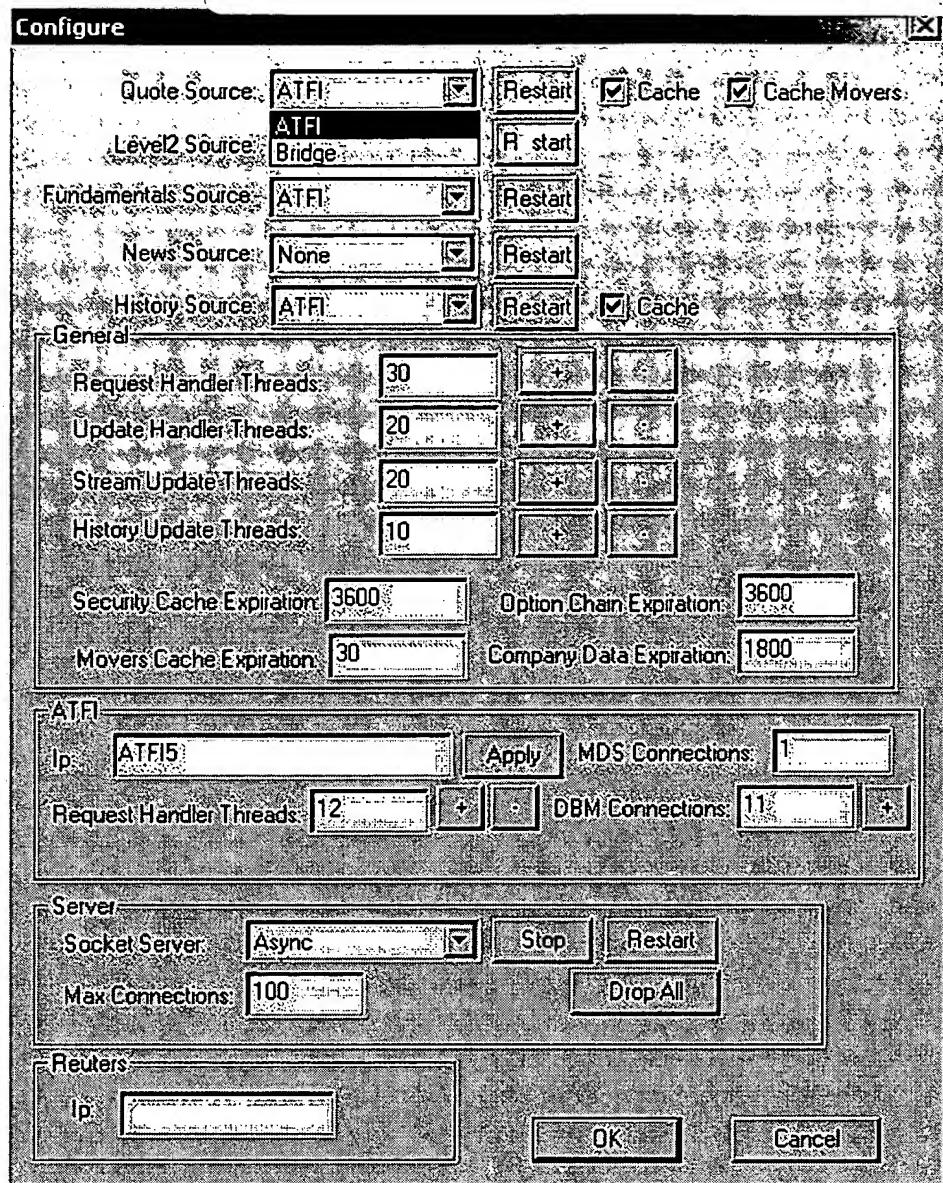


Figure 19(b)

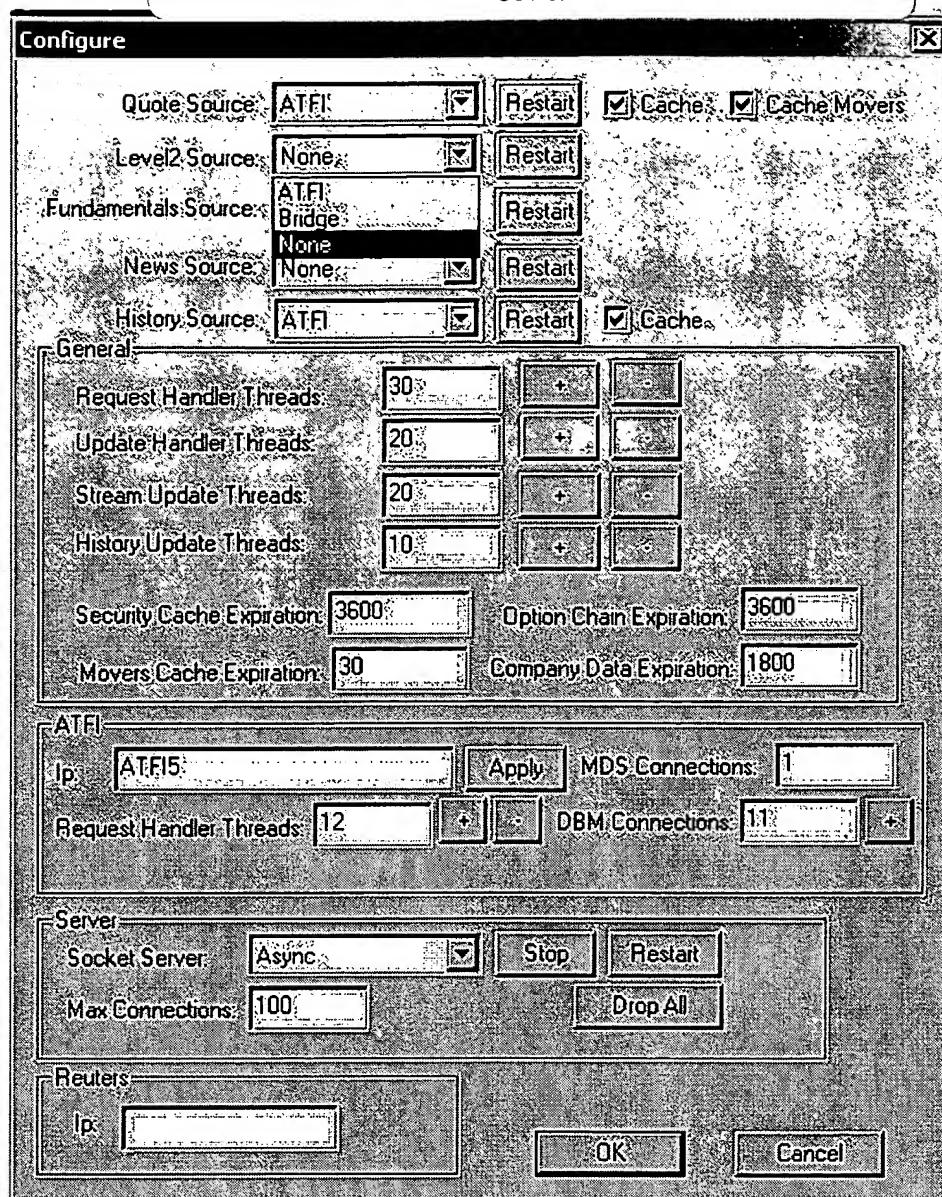


Figure 19(c)

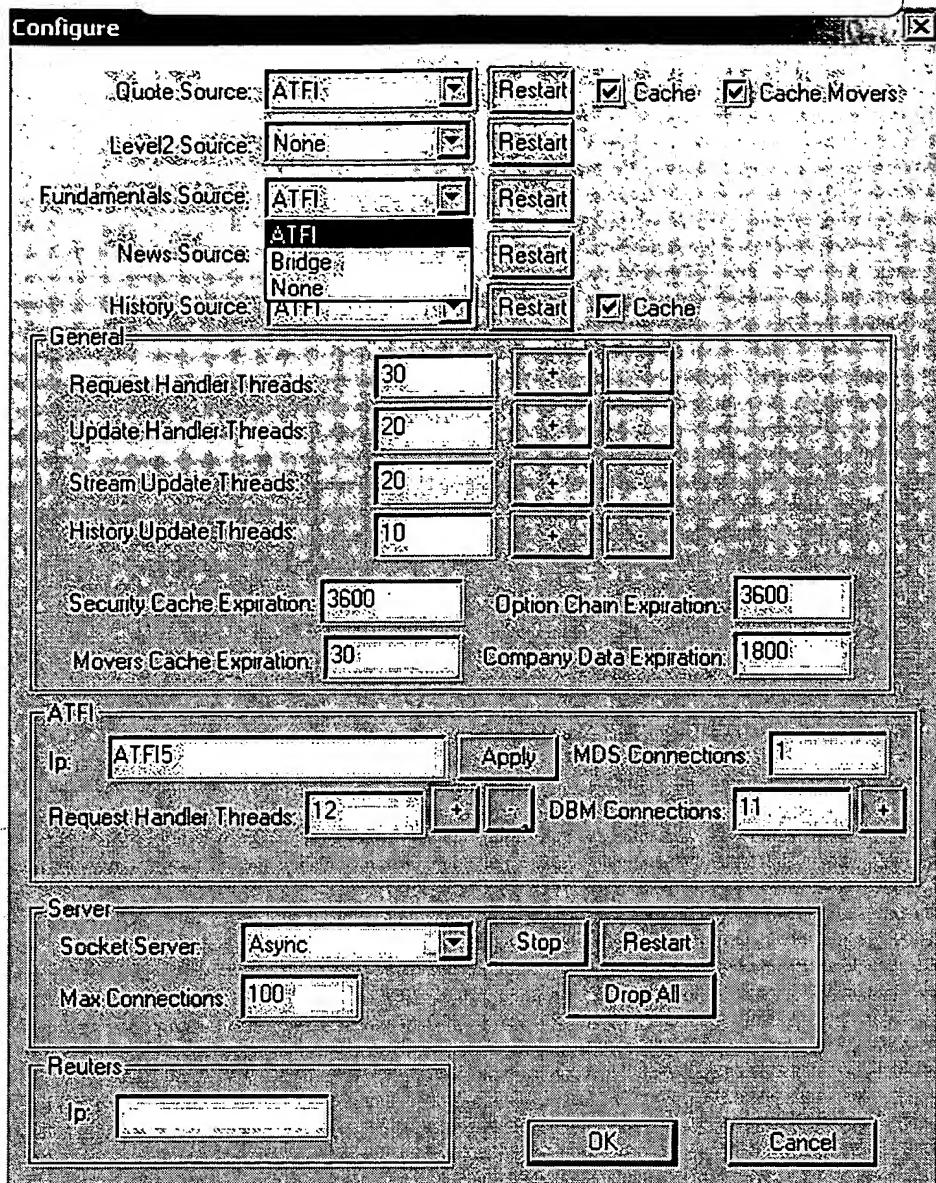


Figure 19(d)

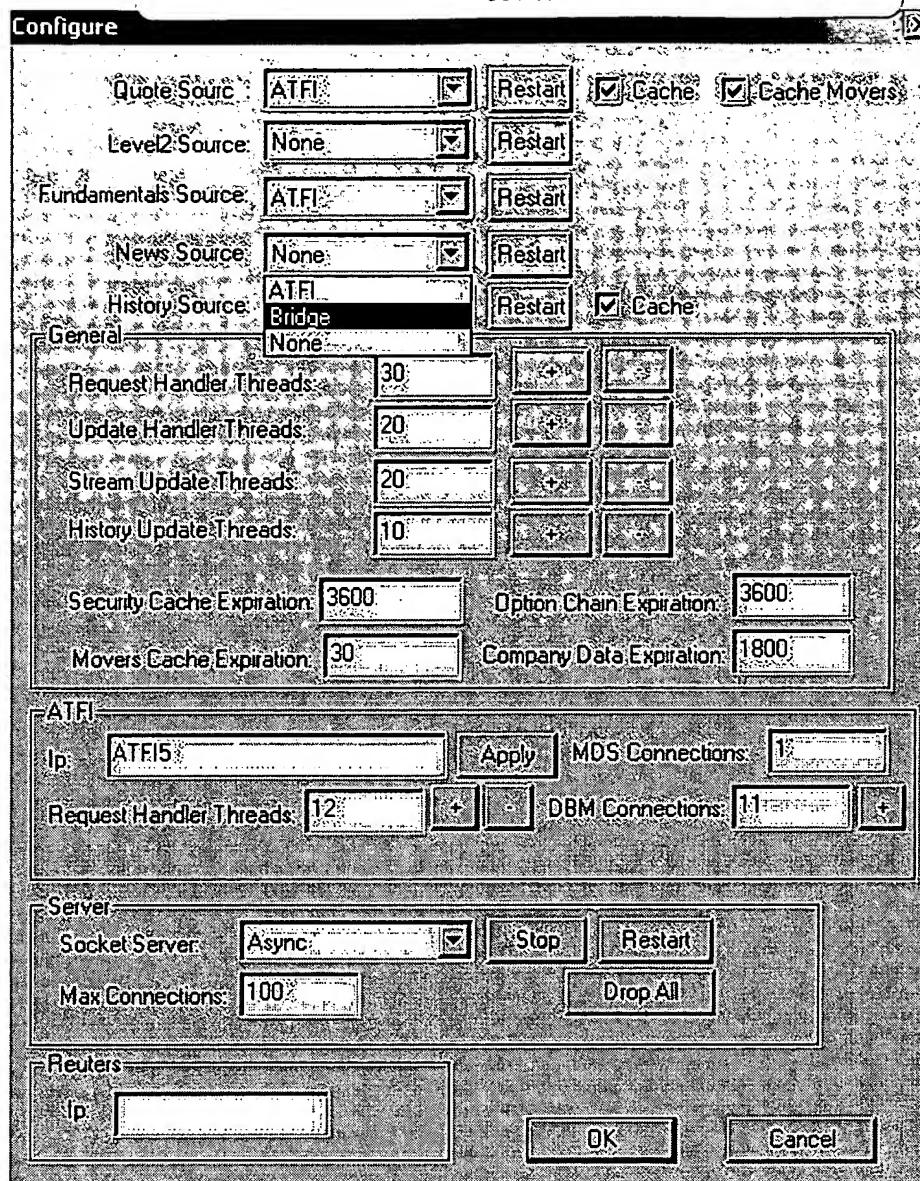


Figure 19(e)

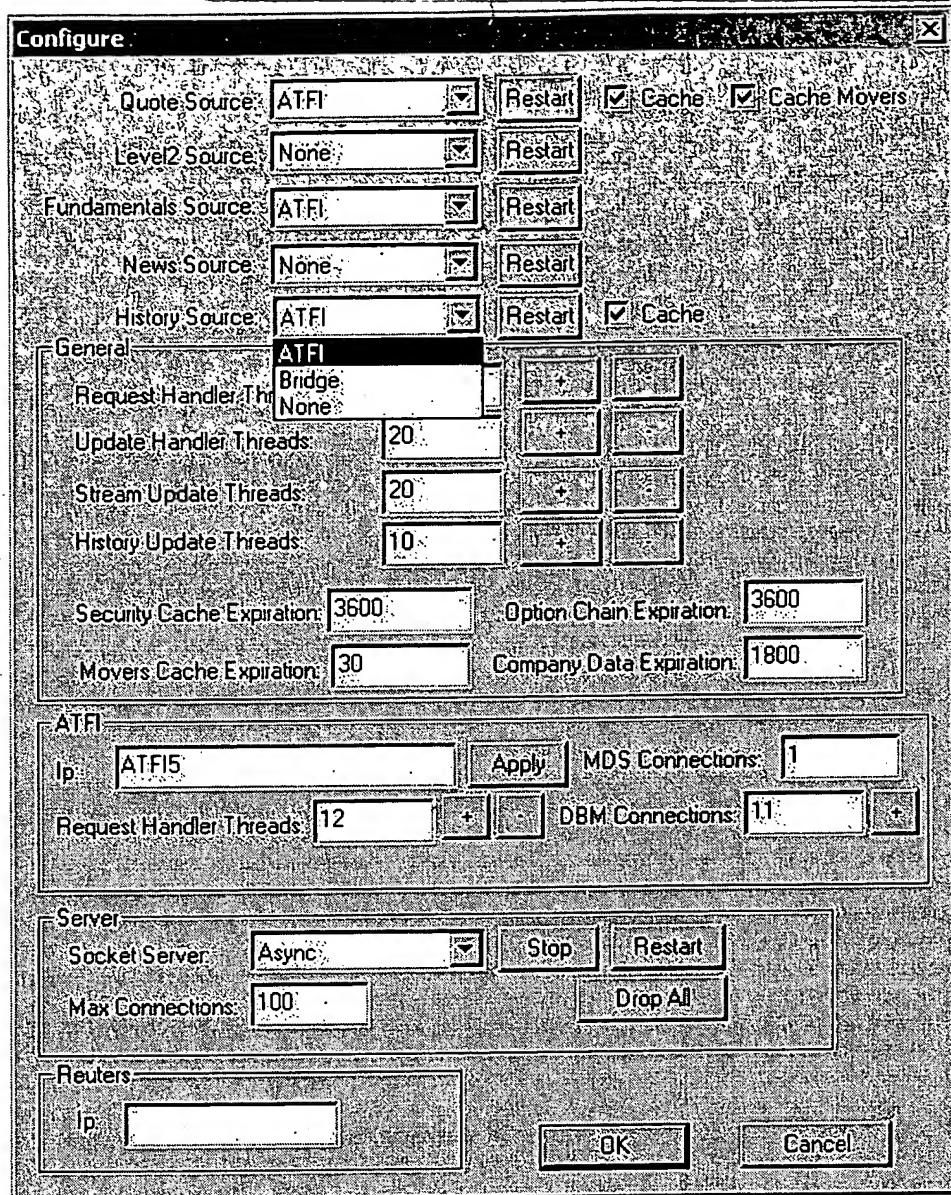


Figure 19(f)